

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Michelle Baker

SERIAL NO.: 09/209,162 GROUP ART UNIT: 2776

FILED: December 10, 1998 EXAMINER: C. Paula

FOR: Electronic Mail Software ATT'Y DOCKET: BAK-004

with Modular Integrated Authoring/Reading Software

Components

Honorable Commissioner of Patents and Trademarks Washington, D.C. 20231

DECLARATION UNDER 37 CFR §1.131

I, Michelle Baker, declare that:

I conceived of the invention claimed in the present application prior to the effective dates of the references cited against the claims. The following documents numbered Exhibits 1-40 show that I was in possession of the invention in early 1997, long prior to the effective dates of the references, and that I diligently pursued the invention up until August 1998 at which time I turned over my disclosure to my patent attorneys for the preparation of the instant application which was ultimately filed in December 1998.

Exhibit 1 is a excerpt of the phase 2 portion of my NSF proposal which was filed in February 1997. The last two pages of this excerpt describe the essence of the invention claimed herein.

Exhibit 2 is an abstract taken from the NSF website indicating that my proposal was granted in September 1997 for funding between November 1997 and April 1999.

The following exhibits are taken from my notebooks/diaries which I kept in steno books. The entries are annotated with pink, blue and green notes which I added to the entries for purposes of this declaration. The entries marked "KidCode" refer to the invention claimed in the present application. There are entries for substantially every day. Exemplary entries, approximately one per week, are listed below.

During 1997 and 1998, I was working on three other inventions, referred to as BAK-001, BAK-002, and BAK-003. Each of these other inventions was the subject of a U.S. Patent application. BAK-001 issued into two patents: U.S. Patent Number 5,715,416 and U.S. Patent Number 6,002,401. BAK-002 and BAK-003 issued into U.S. Patent Number 6,076,083 and U.S. Patent Number 6,073,089, respectively. During 1997 and 1998, I was also working on setting up, funding, and staffing my company "Intellinet". Thus, some of the entries provided below will make reference to these other projects as well as still other matters.

It may be helpful in understanding some of the entries that the KidCode project was initially envisioned as a learning tool for school children. As the work progressed and after discussing it with my patent attorneys, it became clear that the invention had broader applications. With few exceptions, the following documents speak for themselves. Where a person's name and telephone number is listed, it generally indicates that I had a telephone conversation with that person regarding the subject matter indicated.

Exhibit 3 is three pages from my notebook/diary showing entries for September 3 and 4 1997. John Ferro was the technology director of District 2 in NYC. I spoke to him about a collaboration for a proposal to the NYS Technology Literacy Challenge Fund to finance work with KidCode in his school district. "Ellie" refers to an ongoing discussion with Ellie Sawits about the terms of her employment as CFO for my company Intellinet Inc.

Exhibit 4 is two pages from my notebook/diary showing entries for September 8, 1997. "R.J Miller" refers to an appointment for a haircut. "Pablo" refers to Pablo Tapia, CEO of Apogee Networks with whom I discussed a potential licensing agreement of the BAK-003 invention from Intellinet to Apogee. Sally Nerlove was the grants program officer for the KidCode grant. I spoke to her

concerning the addition of REU funds to supplement the KidCode grant.

Exhibit 5 is two pages from my notebook/diary showing entries for September 18, 1997. "Judy" refers to Judi Cohen with whom I spoke to set up a meeting for Thursday Nov 2nd; probably to work with children on the KidCode grant.

Exhibit 6 is one page from my notebook/diary showing entries for September 22, 1997. "Babette" refers to Babette Moeller and including her in the meeting with Judi Cohen Nov 2nd. Ray Fitzgerald is a lawyer who was helping me with negotiations on Ellie Sawits employment agreement and terms of engagement of Oxbridge for raising private capital for Intellinet Inc.

Exhibit 7 is two pages from my notebook/diary showing entries for October 2, 1997.

Exhibit 8 is two pages from my notebook/diary showing entries for October 13, 1997.

Exhibit 9 is two pages from my notebook/diary showing entries for October 29, 1997. "Catherine" refers to Catherine Evans, an employee of Intellinet to do bookkeeping, general office help, and manage the process of acquiring images for KidCode. Jack Goldman was with Oxbridge at this time. We spoke about whether there was

any way to bridge the gap in what Oxbridge wanted and what Intellinet could afford to contract. NY City Coord Group and NY State Ed info - I believe I was trying to get data for a market analysis for the KidCode business plan.

Exhibit 10 is two pages from my notebook/diary showing entries for November 4, 1997.

Exhibit 11 is one page from my notebook/diary showing entries for November 11, 1997. I had a meeting with Jane Coleman about working with Teaching Matters, a non-profit organization working with technology in NYC schools, to have them use KidCode in their work in the schools.

Exhibit 12 is one page from my notebook/diary showing entries for November 17, 1997. Bruce Bernstein had a software firm. We discussed the possibility of subcontracting some KidCode programming to his firm. Ann Cassidy was a KidCode programmer

My handwritten notebooks for the end of November 1997 through January 1998 cannot presently be found. However, I have saved copies of all of my electronic mail for the period.

Exhibit 13 is six pages of excerpts from my saved email outbox covering the period from November 27, 1997 through February 1, 1998.

Exhibit 14 is four pages from my notebook/diary showing entries for February 6, 1998. Ann Vartanian is former Nickelodeon Marketing Director. We had discussions concerning a possible collaboration for marketing of KidCode. The next two pages are notes from programming the scrolling image window for KidCode Rebus game. Ann Cassidy and Susie Ryback were KidCode programmers.

Exhibit 15 is one page from my notebook/diary showing entries for February 13, 1998.

Exhibit 16 is three pages from my notebook/diary showing entries for February 23, 1998.

Exhibit 17 is three pages from my notebook/diary showing entries for March 2, 1998.

Exhibit 18 is two pages from my notebook/diary showing entries for March 9 and 10, 1998.

Exhibit 19 is five pages from my notebook/diary showing entries for March 18, 1998.

Exhibit 20 is one page from my notebook/diary showing entries for March 25, 1998. "Alison" refers to Alison Deighton, a friend. I called to interest her in investing in KidCode.

Exhibit 21 is two pages from my notebook/diary showing entries for April 3, 1998.

Exhibit 22 is one page from my notebook/diary showing entries for April 8, 1998.

Exhibit 23 is three pages from my notebook/diary showing entries for April 14, 1998.

Exhibit 24 is six pages from my notebook/diary showing entries for April 21 and 22, 1998.

Exhibit 25 is four pages from my notebook/diary showing entries for April 29, 1998.

Exhibit 26 is three pages from my notebook/diary showing entries for May 5, 1998. Everything on these pages refer to contacts and conversations regarding possible collaborators for the KidCode proposal to US Dept of Ed.

Exhibit 27 is three pages from my notebook/diary showing entries for May 15, 1998. Graciela Narcho discussed administrative issues re: KidCode grant from NSF. Maria Lucca was an acquaintance with expertise in media and licensing with advice on how to handle purchasing of images for use in KidCode

Exhibit 28 is two pages from my notebook/diary showing entries for May 22 and 25, 1998.

Exhibit 29 is three pages from my notebook/diary showing entries for May 29, 1998.

Exhibit 30 is one page from my notebook/diary showing entries for June 6, 1998.

Exhibit 31 is two pages from my notebook/diary showing entries for June 14 and 15, 1998.

Exhibit 32 is three pages from my notebook/diary showing entries for June 22 and 23, 1998.

Exhibit 33 is two pages from my notebook/diary showing entries for June 26, 1998.

Exhibit 34 is three pages from my notebook/diary showing entries for June 30 through July 14, 1998. Mike Risko was the administrator of the EDC/CCT subcontract for KidCode. Nancy Ross was a KidCode programmer. Susie Rybak was a KidCode programmer. The absence of consecutive entries is due to the summer holidays.

Exhibit 35 is three pages from my notebook/diary showing

entries for July 17, 1998.

Exhibit 36 is five pages from my notebook/diary showing entries for July 20, 1998.

Exhibit 37 is one page from my notebook/diary showing entries for July 27, 1998.

Exhibit 38 is two pages from my notebook/diary showing entries for August 4, 1998.

Exhibit 39 is four pages from my notebook/diary showing entries for August 10, 1998.

Exhibit 40 is two pages from my notebook/diary showing entries for August 12, 1998. On this day I spoke with patent attorney Tom Gallagher about the KidCode project. I explained the project as an email program with game modules for children. The initial game was a rebus game. During the conversation, Tom mentioned some semi-educational games that he had seen recently (You Don't Know Jack, etc.).

I further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful, false statements and

the like so made are punishable by fine or imprisonment, or both, under Section 1001 of title 18 of the United States Code and that such willful, false statements may jeopardize the validity of the application or document or any patent or registration resulting therefrom.

Muhlle Bu

July 12, 2002

Michelle Baker

EXHIBIT 1

.42.4

NATIONAL SCIENCE FOUNDATION SBIR PHASE II PROPOSAL COVER PAGE

Small Business Innovation Research

TOPIC NO. 25 SUBTOPIC LETTER b	TOPIC TITLE Education and H	luman Resources	
PROPOSAL TITLE Kidcode: software for young children's exploration of symbolic representation, Phase II			
NAME OF PROPOSING SMALL BUSINESS CONCERN Intellinet Inc.	ADDRESS (Including ZIP CODE) 325 Riverside Drive New York, N.Y. 10025		
EMPLOYER IDENTIFICATION NUMBER (EIN) OR TAXPAYER IDENTIFICATION NUMBER (TIN) 13-3727963			
REQUESTED AMOUNT \$ 299,991	PROPOSED DURATION 24-months 18 months	PERIOD OF PERFORMANCE 11/1/97 - 4/30/99	
THE SMALL BUSINESS CONCERN CERTIFIES TH			Y/N
1. It is a small business as defined in the SBIR Phase I - Ph	ease II Instruction Guide.		Y
 It qualifies as a socially and economically disadvantaged STATISTICAL*PURPOSES ONLY 			N
3. It qualifies as a women-owned business as defined in S	BIR Phase I - Phase II Instruction Guide. FOR	STATISTICAL PURPOSES ONLY	Y
4. NSF is the only Federal agency that has received this proposal (or an overlapping or equivalent proposal) from the small business concern. If No, you must disclose overlapping or equivalent proposals and awards as required by SBIR Phase I - Phase II Instruction Guide. (See Section Part III, Subsection D.1(I))			Y
5. A minimum of one-half of the research will be performed by this firm in Phase II.			Y
6. The primary employment of the principal investigator will be with this firm at the time of award and during the conduct of the research.			
7. It will permit the government to disclose the title and technical abstract page, plus the name, address and telephone number of a corporate official if the proposal does not result in an award to parties who may be interested in contacting you further information or possible investment.			
8. It will comply with the provisions of the Civil Rights Act of 1964 (P.L. 88-352) and the regulations pursuant thereto.			Y
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR			
NAME Michelle Baker	President	•	
SOCIAL SECURITY NO. 054-50-2485	TELEPHONE NO. (212) 663-7026		-
E-MAIL ADDRESS mbaker@interport.net FAX NO. (212) 663-7026			
Michelle Baker TITLE President TELEPHONE NO. (212) 663-7026			
COMPANY OFFICER (FOR BUSINESS AND FINANCIAL MATTERS)			
OTHER INFORMATION			
RESIDENT'S NAME Michelle Baker YEAR FIRM FOUNDED NUMBER OF EMPLOYEES AVERAGE PREVIOUS 12 MO.: CURRENTLY: 2		,	

PROPRIETARY NOTICE See Part III, Subsection D.1 for instructions concerning proprietary information. (Check here 🔀 if proposal contains proprietary information.)

NOTE: The signed Certification Page must be included immediately following this Cover Page with the original copy of the proposal only.

Proposal Page No. 1

NSF FORM 1207 (SBIR) (5/96)

CERTIFICATION PAGE

Certification for Principal Investigators and Co-Principal Investigators

I certify to the best of my knowledge that:

- (1) the statements herein (excluding scientific hypotheses and scientific opinions) are true and complete, and
- (2) the text and graphics herein as well as any accompanying publications or other documents, unless otherwise indicated, are the original work of the signatories or individuals working under their supervision. I agree to accept responsibility for the scientific conduct of the project and to provide the required progress reports if an award is made as a result of this application.

I understand that the willful provision of false information or concealing a material fact in this proposal or any other communication submitted to NSF is criminal offense (U.S.Code, Title 18, Section 1001).

Name (Typed)	Signature	Date
PI/PD	-01121	
Michelle Baker	Muchelle Bil	1/29/97
Co-PI/PD		

Certification for Authorized Organizational Representative or Individual Applicant

By signing and submitting this proposal, the individual applicant or the authorized official of the applicant institution is: (1) certifying that statements herein are true and complete to the best of his/her knowledge; and (2) agreeing to accept the obligation to comply with NSF award terms and an award is made as a result of this application. Further, the applicant is hereby providing certifications regarding Federal debt status, debarment and suspension, drugfree workplace, and lobbying activities (see below), as set forth in the *Grant Proposal Guide (GPG)*, NSF 95-27. Willful provision of false information in this application and its supporting documents or in reports required under an ensuing award is a criminal offense (U.S. Code, Title Section 1001).

In addition, if the applicant institution employs more than fifty persons, the authorized official of the applicant institution is certifying that the institution implemented a written and enforced conflict of interest policy that is consistent with the provisions of *Grant Policy Manual* Section 510; that to the best his/her knowledge, all financial disclosures required by that conflict of interest policy have been made; and that all identified conflicts of interest will been satisfactorily managed, reduced or eliminated prior to the institution's expenditure of any funds under the award, in accordance with the conflict of interest policy. Conflicts which cannot be satisfactorily managed, reduced or eliminated must be disclosed to NSF.

Debt and Debarment Certifications	(If answer "yes" to either, please provide explanation.)		
Is the organization delinquent on any Federal debt?		Yes 🗌	No 🛛
Is the organization or its principals presently debarred, or voluntarily excluded from covered transactions by a	suspended, proposed for debarment, declared ineligible,	Yes 🗍	No ⊠
the second secon	ny i odorai Doparanom or agency:	res 🔛	No [X]

Certification Regarding Lobbying

This certification is required for an award of a Federal contract, grant or cooperative agreement exceeding \$100,000 and for an award of a Federal loan a commitment providing for the United States to insure or guarantee a loan exceeding \$150,000.

Certification for Contracts, Grants, Loans and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress connection with the awarding of any federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer employee of any agency, a Member of Congress, and officer or employee of Congress, or an employee of a Member of Congress in connection with Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements and that all subrecipients shall certify and disclose

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

AUTHORIZED ORGANIZATIONAL REPRE	ESENTATIVE	SIGNATURE		DATE
NAME/TITLE (TYPED) Michelle Baker		Mu4/4 B	ch	1/29/97
TELEPHONE NUMBER (212) 663-7026	ELECTRONIC MAIL ADDRESS mbaker@interport.net		FAX NUMBER (212) 663-7	

National Science Foundation Small Business Innovation Research Program

PROJECT SUMMARY

	NSF PROPOSAL NO.
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NAME OF FIRM	M			
	Intellinet Inc.			
ADDRESS	RESS 325 Riverside Drive New York, N.Y. 10025			
PRINCIPAL INVESTIGATOR (NAME AND TITLE)				
Michelle Baker, President				
TITLE OF PROJECT Kidcode: software for young children's exploration of symbolic representation, Phase II				
TOPIC TITLE	Education and Human Resources	TOPIC NUMBER AND SUBTOPIC LETTER 25 b		

PROJECT SUMMARY

This Small Business Innovative Research Phase II project will implement prototype software and develop teacher resource materials for a computer program that allows children in the age range 5-10 years to explore symbolic representations. In our Phase I research we developed a sequence of two-person games to be set within the context of an electronic mail system that satisfy our objectives with respect to children's interest and their ability to understand and play independently. Each game is genuinely enjoyed by at least some cohort of the target age range and all children in the evaluation exhibited delight in at least one game as expressed by their level of interest and/or requests for repeated play. Moreover, there is evidence that, taken together, the games improve the children's facility with symbolic processing.

In Phase II we will:

- complete implemntation of a software prototype for the four KidCode games designed in Phase I
- 2. develop teacher resource materials to supplement the software.
- 3. develop animated demos and an on-line help facility.
- 4. evaluate and refine the software, help facility, and teacher resource materials.

Potential Commercial Applications of the Research

The KidCode games and email software have commercial applications in the markets for both home and school educational software. KidCode is designed make use of local area computer networks and the Internet. At present, with the exception of Web pages on the Internet, little or no educational software exists that takes advantage of a networked computing environment. Moreover, The games address a real need in elementary mathematics curriculum and will appeal to teachers of elementary aged children. To our knowledge, there is no other software explicitly designed to encourage children in an exploration of symbolic representation.

We will also consider partnering with a distributor of board games or toys to market a board game style version of the KidCode games. Our evaluations showed that both children and adults had fun playing with the paper material to the extent that many of the adults who played the game suggested that we skip the software and market the game materials that we have already developed. Because the games are interactive, visually and aurally attractive, humorous, and colorful we believe that they can be developed into a fun and intriguing television game show for kids.

d. Synopsis of Phase I Research Results

In our Phase II research we developed a sequence of two-person games to be set within the context of an electronic mail system. The games are intended to help elementary aged children understand symbolic representation as it relates to communication and mathematics. Our Phase I research focused on the design and evaluation of games centered on the theme of codes and secret messages for children in grades from first through fourth grades.

Overall, we have found that the theme of coding and secret messages is an excellent venue for learning about symbolic representation. The context of interactive communication is very appealing to the children we have worked with. They liked the idea that their communications were secret and were clearly amused as they anticipated the decoding of their messages. They found many opportunities for humor as partners misinterpreted some of the codings and we had many lively sessions in which coder, decoder and evaluators shared in frequent laughter.

The most important outcome of the research is that we have designed four games that can be set in an email context and that satisfy our objectives with respect to children's interest and their ability to understand and play independently. Each game is genuinely enjoyed by at least some cohort of the target age range and all children in the evaluation exhibited delight in at least one game as expressed by their level of interest and/or requests for repeated play. Moreover, there is evidence that, taken together, the games improve the children's facility with symbolic processing.

The main findings of the evaluation research are:

- The games help children (and adults) to get over anxiety associated with tasks presented as mathematics. Although all subjects who were told that they would be playing a series of math games approached the first game as if it were a test, their preoccupation with "getting the right answer" gradually dissolved. They relaxed as they discovered that there is usually not a correct method for coding a message and that what really matters is that the recipient can understand the message.
- The games build on one another and increase in abstraction and/or complexity. Some children had a
 great deal of trouble when the games were not presented in sequence and games with higher levels of
 coding abstraction were played without the benefit of experience with earlier games.
- The games seem to improve the children's competence with symbolic processing. All children who played the games in sequence were able to understand and play each game independently after being guided through one or two examples. Children seemed to learn more and learn more quickly when they go through the entire sequence of materials as opposed to being presented with material from within the sequence.
- Even children who can not yet read can understand and play the games independently if we assume that textual material is read to them (by providing sound in the computer program).
- Older children who have had some exposure to symbolic language are more readily able to utilize the
 coding models so that their learning curve rises more rapidly and after fewer trials. Younger
 children need more trials and more systematic instruction. However, once they grasp the coding
 model used in a game, they are easily able to use what they have learned and apply it to new
 situations.

- Some forms of instruction are much more effective than others. In particular, we found that walking
 through an example of game play was far better than verbal directions for how to play. This suggests
 that a computer program could provide adequate instruction using small demos to illustrate the play
 for each game.
- Developmental readiness is an important determinant of the children's level of interest for some of
 the games. Older children sometimes became bored with games that fascinated the younger children.
 However, the rebus game was enjoyed by all children (and adults) regardless of age or level of
 development.
- There are specific age and gender differences in how the children approach the tasks. Most strikingly, boys tend to view the games as though this was a competition, while girls tended to cooperate more readily to help their partner succeed. Though less prominent, younger children also tended to work more cooperatively while older children tended to build in competition even though that was not part of the instruction or the task.
- When children worked cooperatively, the assistance they offered one another was often more valuable than the direct instruction given by the evaluator.

For each game, we crafted materials of paper and poster board with varied examples at different levels of difficulty that could be used for multiple rounds of play. These materials were used throughout the performance period in evaluations with three adults and fourteen children in the first through fourth grades (ages 5-10 yrs.) from a wide range of socioeconomic backgrounds. As the research progressed, the materials were revised or expanded in order to address issues that arose during the evaluation sessions. Some of the games were modified considerably after observing children play the games.

The most important outcome of the research is that we have designed four games that can be set in an email context and that satisfy our objectives with respect to children's interest and their ability to understand and play independently. Each game is genuinely enjoyed by at least some cohort of the target age range and all children in the evaluation exhibited delight in at least one game as expressed by their level of interest and/or requests for repeated play. Moreover, there is evidence that, taken together, the games improve the children's facility with symbolic processing. We have also constructed a prototype of the proposed software using Macromedia *Director* which includes materials from one of the games in a simulated email environment.

d.1. Identification and Significance of Problem

KidCode is intended to help children develop an understanding of symbolic representation through experience with a wide variety of codes and coded representations. The KidCode games will be set within the context of an electronic mail system to encourage kids to understand symbolic representation as it relates to communication. With KidCode, kids can construct, translate, and manipulate symbols for "math talk". We want them to know that there is meaning to math and that math is nothing without the message but that the languages can be interesting and fun and ultimately powerful.

The games are designed to build confidence and a sense of ownership by kids for the languages and the messages that they construct. We have found that the games improve children's skills with particular representations used commonly in mathematics. It is our further aim for the games to develop children's conscious understanding of symbolic representation and confidence in their ability to translate any representation to retrieve it's underlying meaning. Our work thus far suggests that experience with the KidCode games can help children develop a more general understanding of symbolic representation. We

hope that improved understanding and competence with various kinds of representations will give children a foundation so that they are not intimidated when presented with a complex looking mathematical formula and so that they consciously experiment with alternative representations when asked to solve a mathematics problem. Specifically we intend that the games will lead to an understanding that,

- symbols can be used to represent concrete objects, spatial location, actions, ideas, etc.;
- mathematical notation consists of a collection of languages constructed by people;
- all parties involved in a coded communication must agree on and understand a shared set of rules in order for communication to occur;
- specialized languages can be used to describe the physical world with greater precision than English words;
- notations or codes can be made up arbitrarily but that some notations are better than others.

d.2. Background and Technical Approach

The ideas for KidCode arose out of studies of educational research that indicate that children's difficulty with mathematics in school arises from the failure to develop conceptual links between mathematics as a symbol system and mathematical concepts that can be used to describe the physical world. (e.g. Ginsburg, 1989) Whereas the development of mathematical thinking in young children and skill in basic counting and arithmetic can be quite advanced when posed in real world settings, their application in school math has seemed limited and often, resistant to further development. Research on children's mathematics thinking has shown that understanding of basic mathematical concepts generally developed well before children's facility with symbolic representation. Preschool children, who cannot yet read are usually quite competent in using mental math to solve simple arithmetic problems requiring addition and subtraction. However, young elementary aged children have generally not developed an ability to use symbols. Few first graders are able to read upon entering school and their experience with symbolic processing is very limited. Nevertheless, until recently they have been required to use to use symbols to represent relatively abstract mathematical ideas.

The result of emphasizing symbolic math before the children develop competence with symbolic processing has been negative. This is where children begin to view school math as separate and unrelated to anything in their experience. In studies of children who perform poorly in mathematics at school, it was found that the same children could solve problems with ease if they were presented in context and without recourse to paper and pencil. Related research has shown that children's performance on mathematical problem solving tasks actually declined after a few years of schooling. Children upon entering school showed good insight relating arithmetic to real situations but by the ages of 9 or 10 were trying to solve word problems by resorting to superficial strategies such as "guess the operation" or "find the numbers and add".

In response, the NCTM standards of 1989 proposed a redirection of elementary mathematics curricula towards concrete manipulation and problem solving, towards a broader understanding of mathematics concepts like patterns, geometry, and data analysis and away from symbol manipulation. Intellinet's Kidcode is designed to supplement the National Council of Teachers of Mathematics (NCTM) curriculum standards by addressing the need to develop conceptual links between concrete mathematical activities and mathematics as a language. It provides children with the opportunity to explore mathematics as one of many symbol systems that have been built for the purposes of communication. KidCode will enable children to gain experience with many kinds of symbolic representations by constructing systems of their own for the purposes of sending coded messages to their peers. Message authoring can consist of text, graphics, and even animations. Similarly, with KidCode children can advance from an understanding of symbolic representation of object/noun type entities for text and

simple pictures to coded representations of spatial relationships and, finally, to representation of operator actions. Thus KidCode can provide an important supplement for the curriculum throughout the elementary grades.

d.3. Selected Bibliography

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e. PHASE II RESEARCH OBJECTIVES

In Phase II we will:

- 1. complete development of a software prototype for the four games Rebus, Text-in-Grid, Coded Puzzle, and Connect-the-Dots.
- 2. develop teacher resource materials to supplement the software.
- 3. develop animated demos and an on-line help facility.
- 4. evaluate and refine the software, help facility, and teacher resource materials.

e.1. Develop prototype software

Prototype software development consists of the following subtasks:

- electronic mail client
- MIME mail handler
- message authoring components for each of the four games Rebus, Text-in-Grid, Coded Puzzle, and Connect-the-Dots.
- game templates for each of the four games
- image library

e.2. Teacher resource materials

The principal objectives for the teacher resource materials and use guides include:

- Provision of an Introductory section which clearly conveys the overall learning objectives of the KidCode software and the role of the software in mathematics learning.
- Provision of research data which delineates the importance of providing children with
 experiences and activities which develop, reinforce and enhance their abilities to use symbolic
 representations as a language, particularly as a prerequisite for the development of mathematical
 skill.
- Provision of a curriculum guide which simply and clearly delineates the purposes, uses and applications of the software for the classroom or computer laboratory. This guide will help teachers to understand how best and where to mesh this program into their existing curriculum. It will also provide specific coordination with the TERC materials, *Investigations in Number, Data, and Space* and materials designed by Marilyn Burns which are in use in most public and private elementary school settings across the country.
- Provision of an instructional manual that explains the basic use of the software including summary, getting started, product in detail and student extension materials.

e.3. On-line help

We will design a on-line help system and create associated text, audio and graphics materials to implement the following types of help:

- Basic Help Our Phase I research showed that demo walkthroughs of each game were the most
 effective form of instruction with the children in the target age range. Animated "movies" will be
 created to show beginning users how to use the email client and each of the KidCode games.
- Topical and User Initiated Help We will design a set of topics and questions along with text, graphics, and audio files to provide brief explanations for each topic and question defined.
- Situational and System Initiated Help we will index questions and topics described above with the
 program scenarios in which they are likely to occur. This will allow the program to detect problems
 in some cases and suggest appropriate help.

e.4 . Evaluation

We will evaluate both the teacher resource materials and the prototype software with respect to the following objectives:

e.4.1. EVALUATION OBJECTIVES: TEACHER RESOURCE MATERIALS

The main purpose of the teacher resource materials evaluation is to insure that these materials are designed in such a way that they are comprehensible and appealing to teachers. The materials will be considered to be comprehensible and appealing if the following conditions are met:

- teachers understand the overall KidCode learning goals and how they relate to math education research on (a) the development of symbolic thinking, (b) the difficulty children have relating symbolic representations to math knowledge, (c) the effects of experience with varied forms of representation;
- teachers understand the specific KidCode learning goals for each game and how they intersect with NCTM & TERC curriculum guides;
- teachers can quickly and easily use the program after looking over the resource materials. Teachers who are familiar with computer use should require less than 1 hour of self-training with the manual and program in order to use the program competently;
- teachers choose to use KidCode provided or TERC recommended supplementary concrete/physical materials in their classrooms to supplement KidCode game play;
- teachers expand on existing curriculum materials and generate new activities around the use of the KidCode software.

e.4.1. EVALUATION OBJECTIVES: PROTOTYPE SOFTWARE:

The main purpose of the formative research on the software prototype is to insure the clarity and appeal of the user interface. This research builds on the formative research conducted during Phase I, which helped to establish the comprehensibility, appeal, and age appropriateness of the content and basic activities of the KidCode games. The software prototype will be considered to be clear and appealing if it satisfies the following conditions:

- most children in some cohort of the target age range easily understand the objective of their interaction with the software as being to code, decode, and communicate their creations.
- controls (i.e., windows, buttons, dialog boxes) can be easily understood and manipulated by most of
 the children in some cohort of the target age range after no more than one or two sessions with an
 instructor.
- many (i.e., at least half) of the children in some cohort of the target age range are genuinely intrigued and take the initiative to explore different software features.

f. PHASE II RESEARCH PLAN

In this section we outline a detailed research plan for each of the objectives of the Phase II research that were outlined in section (e) above.

f.1. Develop prototype software

In Phase II we will focus on two main areas of software functionality:

- electronic mail client (e.g. send, read, and browse messages)
- KidCode message authoring including Rebus, Text-in-Grid, Coded Puzzle, and Connectthe-Dots.

In addition, we will create two types of supporting materials:

- game templates
- image library

f.1.a. ELECTRONIC MAIL

The KidCode electronic mail component will be a standard email client with added capabilities to handle specially defined MIME message types. The email client will consist of an in box, an out box, an administrative component, and message management functions (e.g. send, read, save, delete, print) that work on entities from the in and out boxes. The administrative component is used to set up an address book to maintain aliases and addresses of message recipients. This is especially important for younger children who cannot be expected to manage message addressing. Other administrative functions may include setting game levels, turn audio on or off, turn situational help on or off, etc. Icons and toolbars will be designed to be "child friendly" and will resemble those displayed in the KidCode video (October 1996).

The email component will use standard Internet mail protocols including SMTP, POP, and IMAP to ensure interoperability with all major commercial email systems. Using these protocols, the KidCode email client will be able to send and receive ASCII text across the Internet or local area networks to communicate with any protocol compliant email server and send messages to other email clients such as Eudora, AOL mail, Pine, elm, Exchange, etc. The email client will handle messages that are not ASCII text but rather are other MIME message types as attachments. Special x-application MIME types will be defined for the KidCode games and the email client will be constructed to interact with the KidCode message authoring component when a message defined as a KidCode MIME type is invoked. The email client will recognize KidCode MIME types and distinguish these messages with special icons as demonstrated in the KidCode video (October 1996). Functionality that distinguishes KidCode MIME types will be designed for extensibility so that additional games can be easily incorporated as addons to a KidCode email client.

Subsequent to Phase II, additional features will be added to the software. These include a bulletin board that can be used, for example, to post to and read messages from a shared classroom mailbox and native capabilities to handle other registered MIME message types. In addition a realtime chat-style messaging client capable of handling the KidCode games will be developed during Phase III.

f.1.b. MESSAGE AUTHORING AND CODING UTILITIES

The KidCode games developed in our Phase I research will be implemented as separate message authoring components which interact with the email client described above. In addition to a basic text editor that can be used to author standard ASCII messages, separate message authoring components will be designed for each of the KidCode games. These components will be invoked by the email client in response to user input and as a result of examining the MIME type of each message. A MIME-type handler will respond to signals from the email client, evaluate the message type, copy the message for

editing, and load the appropriate authoring component. (see diagram below) When it is invoked, the MIME-type handler will pass MIME message data structures from the email client's in or out boxes to the appropriate authoring component for display and authoring. The MIME-type handler will be designed for extensibility so that functionality for additional KidCode games can be easily added-on to a user's KidCode email client.

Message authoring components for the KidCode games will share a number of common modules including basic user interface features, audio features, and an image library. The shared component of the user interface will offer a uniform overall look-and-feel and functionality common to all the games including send, save, and return_to_email. Message authoring components will also share an image navigation module. This module will operate to display, sort, and navigate the images in the image library in a manner accessible to small children. Our Phase I research showed that, although children in the lower end of our target age range have a great deal of trouble when images are sorted by category, they are very competent navigating large numbers of images when the images are sorted by the words they are likely to represent. Each KidCode message authoring component will incorporate shared modules as needed.

A significant part of the projected Phase II work will be the compilation of an image library which includes a large selection of artwork, images, schematic drawings, and textual symbols. A part time administrative assistant will be given the responsibility for reviewing clipart libraries, and children's books to find appropriate images and gain copyright authorization for use in the software. We have also included funding for a artist to create additional original images, particularly for cases in which we cannot find or gain copyright authorization to sufficient numbers of images of a particular type. Images will be digitized, color reduced, and compressed as necessary to maximize program performance. During Phase II we expect to gather approximately one hundred images for the image library.

f.1.c. PLATFORM AND SOFTWARE DEVELOPMENT TIMETABLE

Software development will be divided into two efforts - (1) User Interface prototyping and (2) system architecture and coding. These two efforts will begin in the first month of Phase II research and will be carried out in parallel. We will use cross-platform development strategy and tools so that code is produced to run on both Apple and Wintel systems. User interface mockups and much of the front end development work will be done using Macromedia Director. Director has the advantage that the same source code can be compiled for either environment. In addition changes in a Director prototype, particularly, "look-and-feel" features, can be quickly and easily revised. The email client and underlying system architecture will be built using Sun Microsystems' Java, a platform independent programming language which runs on any system architecture without recompilation. Below is a detailed description of the programming tasks defined in the Milestone Chart (page xx).

months 1-6

User interface prototyping - Using Macromedia Director we will build mockups of the user interface for the three games that have not yet been prototyped - Text-in-Grid, Coded Puzzle, and Connect-the-Dots - and for selected examples for on-line help. During the same period and closely integrated with the user interface for the games, we will design and prototype the user interface to an on-line help facility for the software. These prototypes will be informally tested very early in the design process with a small number of children to ensure that they are understandable and easy to use. We expect to have completed and refined mockups, including detailed system specifications for both the user interface and the authoring components for the four games and online help by the twelfth month. This includes development of at least two templates and supporting materials for each game and eight to ten examples of help scenarios including text, graphics, and if

EXHIBIT 2



AWSFL008-DS3

NSF Award Abstract - #9710619

SBIR PHASE II: KidCode: Software for Young Children's Exploration of Symbolic Representation

NSF Org DMI

Latest Amendment Date September 17, 1997

Award Number 9710619

Award Instrument Standard Grant

Program Manager Sara B. Nerlove

DMI DIV OF DESIGN, MANUFAC & INDUSTRIAL INNOV

ENG DIRECTORATE FOR ENGINEERING

Start Date November 1, 1997

Expires April 30, 1999 (Estimated)

Expected Total Amount \$309991 (Estimated)

Investigator Michelle Baker michelle.baker@acm.org (Principal Investigator current)

Sponsor Intellinet Inc

325 Riverside Drive

New York, NY 10025 212/663-7026

NSF Program 5373 SMALL BUSINESS PHASE II

Field Application 0000099 Other Applications NEC

Program Reference Code 9102,9177,SMET,

Abstract

Mathematics without the message devolves into mere manipulation of symbols. It is important to help children develop an understanding of symbolic representation through experience with a wide variety of codes and coded representations, yet there is no software explicitly designed to encourage children in an exploration of symbolic representation. This Small Business Innovation Research Phase II project from Intellinet will implement prototype software, Kidcode, and develop teacher resource materials for a computer program that allows children in the age range 5-10 years to explore symbolic representations. In the course of the Phase I research a sequence of two-person games to be set within the context of an electronic mail system was developed. These games satisfy the following objectives with respect to children's interest and their ability to understand and play independently: Each game is genuinely enjoyed by at least some cohort of the target age range, and all children evaluated exhibited delight in at least one game as expressed by their level of interest and/or requests for repeated play. Moreover, there is evidence that, taken together, the games improve the children's facility with symbolic processing. The Phase II plans include completion of the implementation of a software prototype for the four KidCode games designed in Phase I; development of teacher resource materials to supplement the software; development of animated demonstrations and an on-line help facility; and evaluation and refinement of the software, help facility, and teacher resource materials. The KidCode games and e-mail software have commercial applications in the markets for both home and school educational software. KidCode is designed make use of local area computer networks and the Internet. At present, with the exception of Web pages on the Internet, little or no educational software exists that takes advantage of a networked computing environment. Moreover, the games address a real need in elementary mathematics curricula and appeal to teachers of elementary-aged children and other adults as well. Possibilities outside of the classroom include development of a board game style version of the KidCode games and, because the games are interactive, visually and aurally attractive, humorous, and colorful, the development of an intriguing television game show for kids.

Award#9710619 - SBIR PHASE II: KidCode: Software for Young Children's Exploration... Page 2 of 2

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6/10/02

EXHIBIT 3

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Tue Nov 25 15:23:49 1997 To: staff@interport.net

From: Michelle Baker <michelle.baker@acm.org>

Subject: domain name registration

Cc: Bcc:

X-Attachments:

I would like to register the domain name KidCode. I've already done a name search and it is available. How do I go about registering it and getting you to provide the primary and secondary name service?

Thanks.

Michelle Baker

Mon Dec 01 14:00:52 1997

To: sawits@pop.mindspring.com, awc9@columbia.edu, snaveny@aol.com

From: Michelle Baker <michelle.baker@acm.org>

Subject: KidCode is now a registered domain name!!

Cc: Bcc:

X-Attachments:

Now hopefully we can get Max to work on the Web pages....

Michelle

Fri Dec 05 17:01:57 1997

To: SnaveNY <SnaveNY@aol.com>

From: Michelle Baker <michelle.baker@acm.org> Subject: Re: Letter to KidCode Advisory Board

Cc: Bcc:

X-Attachments:

Catherine - on the credit card: you may want to give Gregg Salmon at Marine Midland Bank a call on Monday to check on the credit card application status. His number is 580-5533. I will be surprised if there is not a problem because of my personal credit situation. Assuming that this is the case, the bank should be able to offer us an alternative such as a

secured credit card. Alternatively, my mother, who is on the Board of Directors and who has excellent credit is willing to cosign....either way is ok although if we can get real credit via a cosign that would be better.

It would be great if you could draft a letter to the Advisory Board. I think you have a lot of sample letters that you may be able to base some of the new letter on. The purpose of the letter is twofold: 1.) to announce our great news - that we got the NSF Phase II award and 2.) to prepare them for the fact that we will be holding an advisory board meeting in late spring (date to be announced).

I just received the Nov bank statement and will try to get that to you on Monday. I haven't had a chance to look at the Quickbooks files yet.

Michelle

Mon Dec 15 15:46:49 1997

To: Anne Cassidy <awc9@columbia.edu>

From: Michelle Baker <michelle.baker@acm.org>

Subject: Re: priorities

Cc:

X-Attachments: E:\KIDCODE\ANNE\TASKLI~1.DOC;

Anne - The tasklist looks great on the whole. I've revised it slightly and attached my version to this message.

Wednesday morning would be good for me. I will need to leave by 1:00. How does that sound?

Michelle

Wed Dec 24 08:01:35 1997

To: Anne Cassidy <awc9@columbia.edu>

From: Michelle Baker <michelle.baker@acm.org>

Subject: Re: your meeting

Cc: Bcc:

X-Attachments:

The meeting went very well. He wants us to work out the KidCode Rebus game for four and five year olds as part of a national preschool curriculum that he is developing in conjunction with two other universities. It looks like a very nice opportunity and I've always wanted to do a board game version of KidCode. He also believes that he has a publisher interested in selling the curriculum - if true, that part will be very nice as well.

He is also interested in the workshops. We will meet with him in late January, early February to review the workshop curriculum and discuss it further.

Michelle

Tue Dec 30 19:42:10 1997

To: Anne Cassidy <awc9@columbia.edu>

From: Michelle Baker <michelle.baker@acm.org>

Subject: misc

Cc: Bcc:

X-Attachments:

Anne - there's no need to wait until the end of the month to submit your invoice for the work you've done on KidCode. If you prefer, you can give me the invoice and I'll write you a check at our next meeting.

How is Monday or Tuesday morning for a meeting?

Michelle

Tue Jan 06 16:30:06 1998

To: Anne Cassidy <awc9@columbia.edu>

From: Michelle Baker <michelle.baker@acm.org>

Subject: Re: hi (fwd)

Cc: Bcc:

X-Attachments:

Anne - thanks. Jim Baldwin does sound great. I haven't had a chance to call him yet as I have been in Westchester all day. I should be able to call him this evening though.

Babette and I have scheduled KidCode prototype testing with kids at CCT for the week of Feb 16th. Kids are out of school that week so it should be relatively easy to organize.

Do some good work on your dissertation. I'll talk to you tomorrow about the bio.

Michelle

Thu Jan 15 12:33:41 1998

To: Kevin Kanarek < KKanarek@mediaworkshop.org> From: Michelle Baker < michelle.baker@acm.org>

Subject: Re: kidcode

Cc: Bcc:

X-Attachments:

Sorry that it won't work for you....it would have been nice to see you. In any case, I'd be interested in your comments, so maybe I can schedule something on an evening or weekend for you.

We did get a KidCode internet domain (KidCode.com) and I plan to get a Web page together soon. I would love to have you do it. We will need to speak more about the content etc. I'm also having some marketing people help advise on what the page should look like so at some point in the next couple of months we should probably meet and talk.

Michelle

Mon Jan 19 14:06:44 1998

To: Kimani Morales kmorales@wesleyan.edu From: Michelle Baker kmorales@wesleyan.edu

Subject: Re: summer and/or vacation work Cc: Anne Cassidy <awc9@columbia.edu>

Bcc:

X-Attachments:

Kimani - we need to make up alot more templates (e.g. 300-500) for the Rebus game. In addition to the sentences with words selected for

replacement, we will need alot more symbols and pictures. I am expecting to develop both a classroom kit that would use paper materials much like you built and computer software. We would use the same templates for both the kit and the software.

For the sentences all you would need is access to a computer with Microsoft Word...we will be changing the format of the text for both the kit and the software so, I suspect, all you would need to do is list the sentences (with underlined words)in a Word file and email it as an attachment. Ann Cassidy (see below) will be able to tell you what format things should be in.

For the pictures and symbols, I would like to use clip art whenever we can. In addition, we would create our own pictures and/or try to get copyright permission for pctures that we find. To start with, I would get you a few packages of clip art to browse through and find symbols and pictures. I've had good results doing this with clip art. We will give you exact specs for the format and size we need to have the pictures. I would expect that in most cases, you will need to do a few minor modifications to change the size, format, and occasionally coloring of the pictures you find. You would need to have a computer with a CDROM drive and Photoshop or something equivalent. Ideally, you would have a zip drive available to store the pictures on zip disks and send them to me. Eventually you might also need to have a scanner available but this certainly isn't necessary right away. We can probably save this part of the work for the summer, if we need to do it at all.

I have copied this message to Ann Cassidy who is the project director and in charge of software development. She will be able to tell you exactly what format the text and images should be in.

Let me know much time you think you will have during the semester and when you would like to start? If you send me your phone number I can give you a call and we can discuss this further.

Michelle

Tue Jan 27 14:45:57 1998

To: SnaveNY <SnaveNY@aol.com>

From: Michelle Baker <michelle.baker@acm.org>

Subject: Re: Info for Pat

Cc: Bcc:

X-Attachments:

Catherine - thanks for Pat's address. MI is for Michigan. Yes, we need to transfer the clip art and scanned images to the magicloth. We also need to do something for the message boards - either use a piece of magicloth (if magicloth sticks to magicloth) or somehow put the printed text messages (with missing word) onto the magnetic boards and use these for message boards. I hope this is making sense.....

Michelle

Sun Feb 01 19:07:55 1998

To: Anne Cassidy <awc9@columbia.edu>

From: Michelle Baker <michelle.baker@acm.org>

Subject: KidCode images

Cc: Bcc:

X-Attachments:

Anne - the KidCode images are all ready for you. Also, we need to set up a time to meet.

I hope your talk went well.

Michelle

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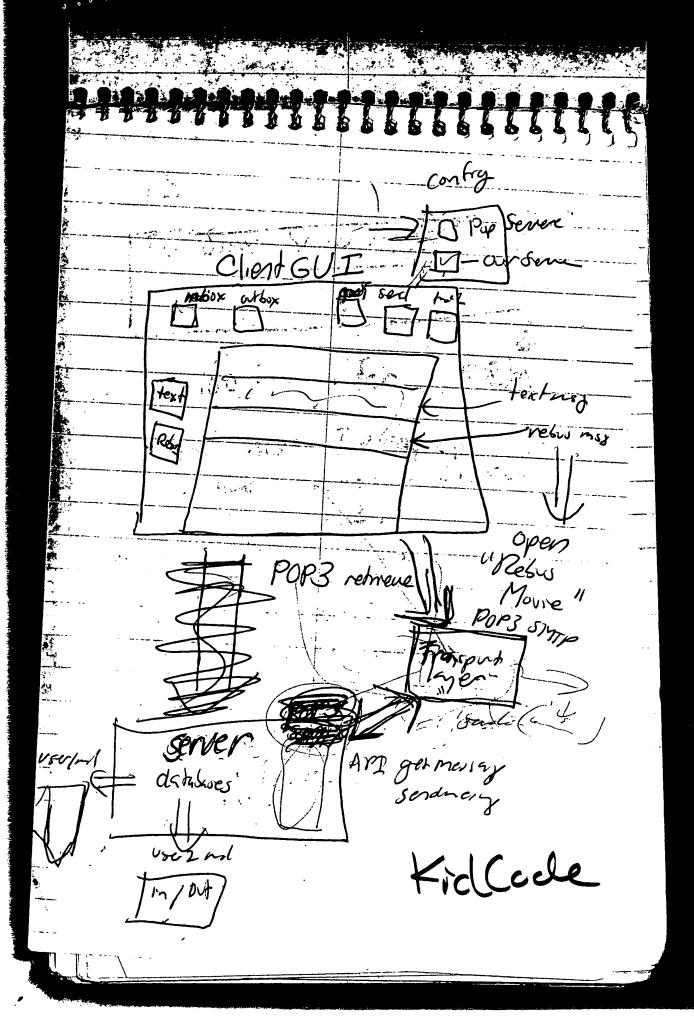
4.) Michelle's examples of representing a algorithmi dor I di- children bogged down ,-Rebus Game Mapping a Trusht erips did not A row 1 5top and talk Temps did not grown Graph Papar / Ciclist Alloc. Gane - power of representant How representates ca clave concepted //-leany... - how many distrest ways ... I Summay - Discuss de adua has of Me. comparer verer are le board gones. Child church Talk about adunties of compa h vesia Base He pad of paper & penals

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Much 2 - BAKOOI Professor et Law University of Chicago Law School 773-702-0216 (phone) 773-753-1024 (fox) faxed cover page of PUI patest - requell for help develop shatepe por merships. Jebb Doum West Side Little League 240 W 102nd Sheet NY NY 10025 BII Deere Purchase And Pacully (914) 251-6767 (office phone)

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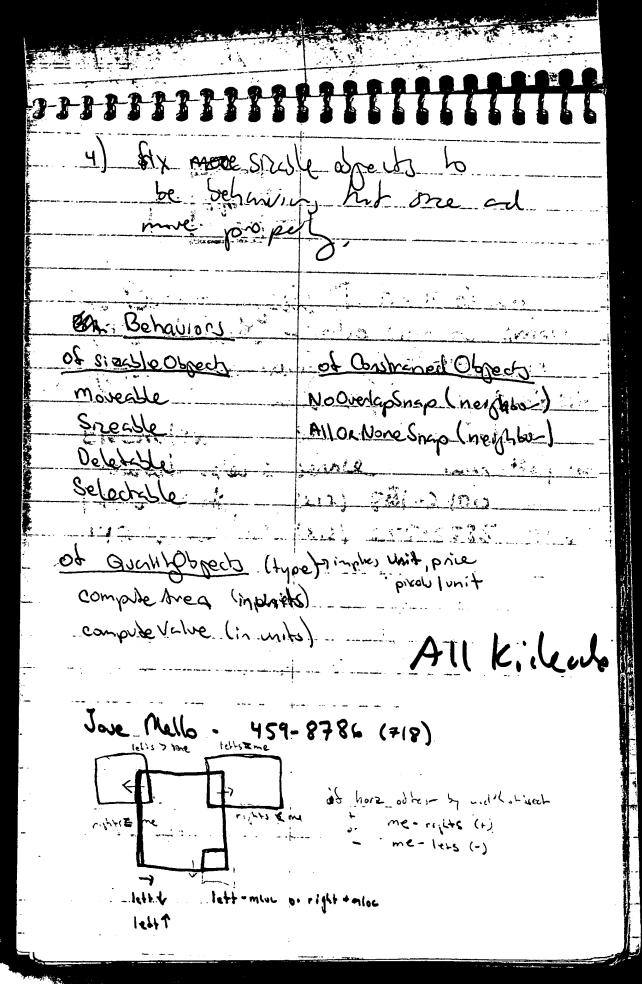


Spar 300 \$ 300 \$ 20 15 400/20 bendet = 20 => 20 pix per dollar 100 5 1 120 × 15 = 300 pro adl Beletter 807-4205 I need to get her a copy of abstract to Dept Ed ofp by Threday. March 10 Marian Schwarz 807-4230 Adult Literacy Madia Allince (have Food Foundation money for TV series) I am to call her later this afternoon to discurs collaboration on Dept. of Ed grant proposal. Note for chicusium -She could do 2 things a) develop content b) use as deling vehile

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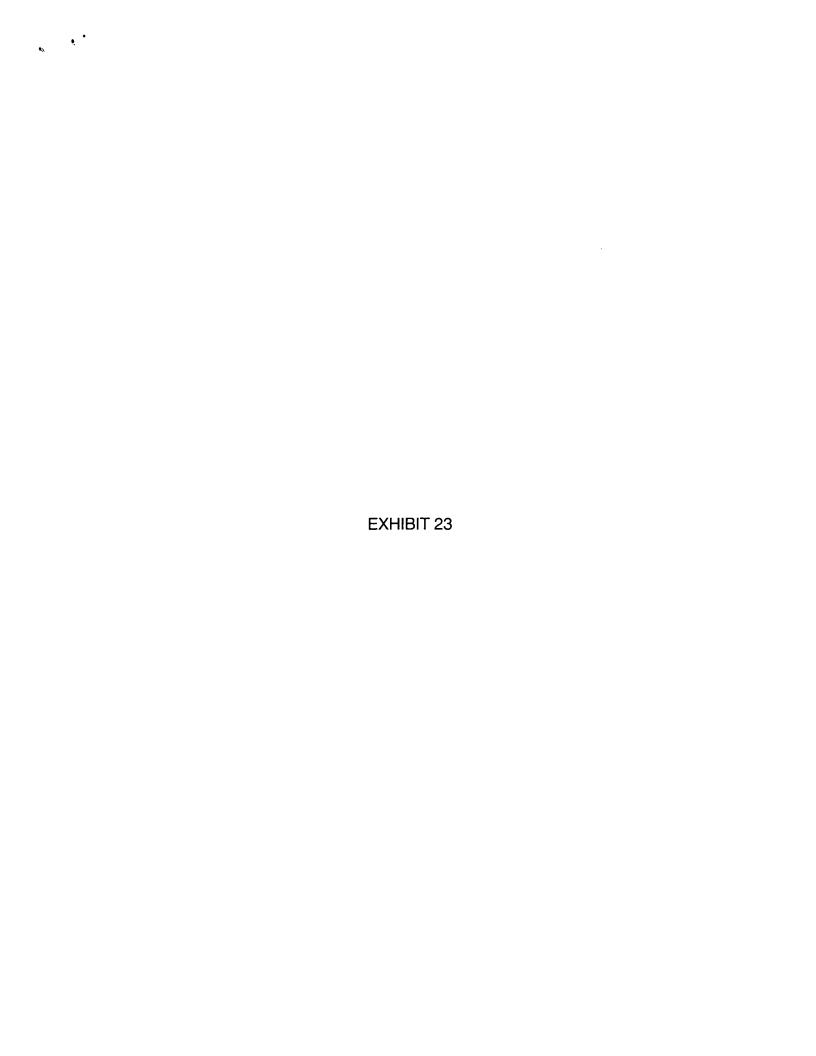
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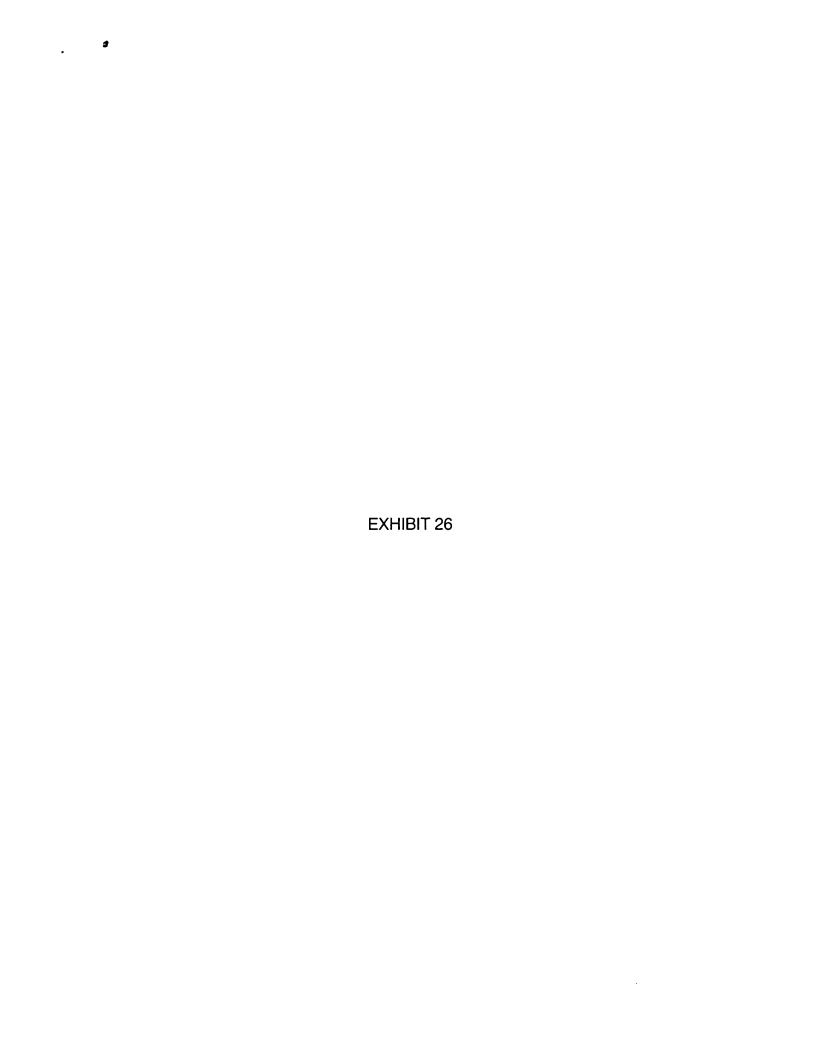
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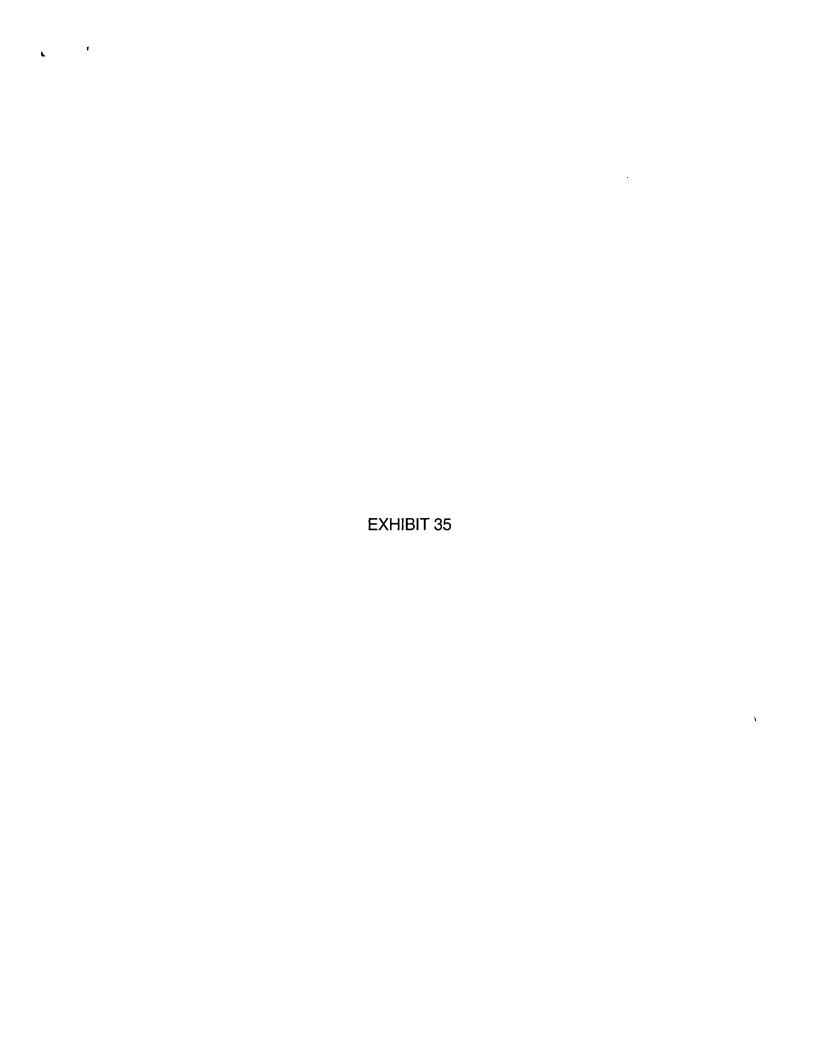
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EXHIBIT 37

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EXHIBIT 38

Tuesda Aug 4. A franche gestali and scorl pattete docpper sprides 15-20 pools not puppeded in emil un - this interferes will relie mores Babe He - PSI Center for Contemporary byt 21st Steet and Ear F train to 23 nd Sheet and by sue valk on 210 sheet for 3-4 Slocks huje red brick school buildre on look to face Mahilla Sky (me left hum on 21st sheet Walk pasts chall builty and the left twn board of blode - entrace "Art Camp"

choosewell open - Lew cheps down -16h ckolinas as left In door not open - "Knowle on Window" or 2 Aps to RodiPille Sul get P · Stephaie Diamond Bobette (718) 937-0258 Franchices 85 hordices 225% of area. They proude miles materials, All Kid Code



Monday Aug 80 Paletter & Ovedor All KidCode 1) stage 15 16 6, +5 photos remopped to 16 6, to by Dreche my look jood 2) car on to map images to 8 4.75 Ulff) Howard 725-5966 Charged NROW computer (Think Rd) Net id from Men -conputurance 1444 - WONGNOP EDC-CCT compute name CCTThinkPed Workgrup Home A For Toshiba hom corpulatione Laure Byent -> CCT Toking workgorp WorkINUP-1 Home

Kamani 865-5834. 12 Some with thinks -- clear temple & a cloursaid on nets -- Rephon meilboxie Tuesday Aug 11 testing KidCode at - PSI Conter for Contemporary Art Camp 210 sheet Long 201-d Ely 23° Smeet & Ely Ave Sibway Shop on E or F train When exiting subway station, turn to tace the Manhattan skyline. Make a left turn onto 21st street. walk 3-4 blocks until you see a huge red brick school building on left walk past the school building and turn left. At the end of the block entrance "Art " camp

subway to Ep take D from at 59th Sheet one stop south to 7th Ave and switch All KidCode Notes on Priderce/Givelle Giselle has houste placen symbols on On Ple word (8 6, + above.) Base He - number Ole messages in Oh malbox ad gue "R" fly for reply. Jost should sych Mruft ten. as coder Kils don't check messere words to see it they are reity correct. 15ths don't always check To freld hut box to make sure id is grow to report
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